



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of )  
)  
**Benno BILSTEIN et al.** )  
)  
Serial No. 10/573,228 )  
)  
Filed March 24, 2006 )  
)  
For **POLYMERIZATION CATALYSTS,** )  
**PREPARATION OF POLYOLEFINS,** )  
**ORGANOTRANSITION METAL** )  
**COMPOUNDS AND LIGANDS** )

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**TRANSMITTAL LETTER**

Submitted herewith for filing in the U.S. Patent and Trademark Office are the following:

- ☒ Transmittal Letter
- ☒ Request to Correct Official Filing Receipt (2 pages)
- ☒ Attachment A – copy of ADS (3 pages)
- ☒ Attachment B – copy of marked-up Official Filing Receipt (3 pages)
- ☒ Form PTO/SB/80 – Power of Attorney (1 page)
- ☒ Form PTO/SB/96 – Statement under 37 CFR 3.73(b) (1 page)

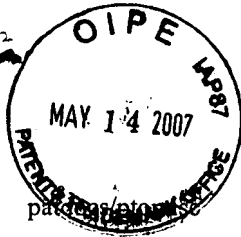
Respectfully submitted,

**BENNO BILSTEIN ET AL.**

By *William R. Reid*

**William R. Reid**  
**Attorney for Applicant**  
**Registration No. 47,894**

Basell USA Inc.  
912 Appleton Road  
Elkton, Maryland 21921  
Date: **May // , 2007**



LU 6134 (US)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re patent application of )  
)  
**Benno BILSTEIN et al.** )  
)  
Serial No. 10/573,228 ) Art Unit 1713  
)  
Filed **March 24, 2006** ) Examiner **Caixa Lu**  
)  
For **POLYMERIZATION CATALYSTS,** )  
**PREPARATION OF POLYOLEFINS,** )  
**ORGANOTRANSITION METAL** )  
**COMPOUNDS AND LIGANDS** )

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**REQUEST TO CORRECT OFFICIAL FILING RECEIPT**

The Filing Receipt mailed September 26, 2006 in connection with the above application contains the following error:

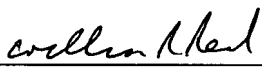
In the Applicant(s) section, please **add** as the second listed inventor  
--Alexander Krajete, Porsgrunn, NORWAY--.

This information was correctly included in the Application Data Sheet submitted on March 24, 2006 with the original filing of the application; a copy is enclosed herewith as Attachment A. Also enclosed is a copy of the Filing Receipt mailed September 26, 2006 as Attachment B, marked-up accordingly.

Applicant respectfully requests the error to be corrected, and for a new official filing receipt to be issued reflecting the above correction.

Respectfully submitted,

**BENNO BILSTEIN ET AL.**

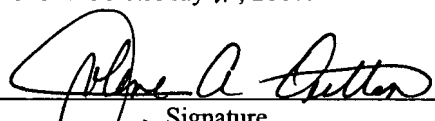
By   
William R. Reid  
Reg. No. 47,894  
Attorney for Applicants

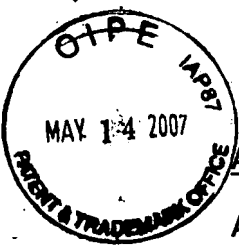
Basell USA Inc.  
912 Appleton Road  
Elkton, Maryland 21921

May //, 2007

Attorney's Telephone No.: 410-996-1783  
Attorney's Facsimile No.: 410-996-1560  
Attorney's E-mail: [william.reid@basell.com](mailto:william.reid@basell.com)

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 on May //, 2007.

  
Signature  
May 11 2007  
Date



ATTACHMENT A

**Application Data Sheet**

**Application Information**

Application Type::	Regular
Subject Matter::	Utility
Suggested Group Art Unit::	N/A
CD-ROM or CD-R?::	None
Sequence submission?::	None
Computer Readable Form (CRF)?::	No
Title::	POLYMERIZATION CATALYSTS, PREPARATION OF POLYOLEFINS, ORGANOTRANSITION METAL COMPOUNDS AND LIGANDS
Attorney Docket Number::	09086-00233-US
Request for Early Publication?::	No
Request for Non-Publication?::	No
Small Entity?::	No
Petition included?::	No
Secrecy Order in Parent Appl.?::	No

**Applicant Information**

Applicant Authority Type::	Inventor
Primary Citizenship Country::	Austria
Status::	Full Capacity
Given Name::	Benno
Family Name::	Bildstein
City of Residence::	Innsbruck
Country of Residence::	Austria
Street of mailing address::	Hoettinger Au 72/17
City of mailing address::	Innsbruck
Country of mailing address::	Austria
Postal or Zip Code of mailing address::	A-6020

Applicant Authority Type:: Inventor  
 Primary Citizenship Country:: Austria  
 Status:: Full Capacity  
 Given Name:: Alexander  
 Family Name:: Krajete  
 City of Residence:: Porsgrunn  
 Country of Residence:: Norway  
 Street of mailing address:: Vesteregate 16  
 City of mailing address:: Porsgrunn  
 Country of mailing address:: Norway  
 Postal or Zip Code of mailing address:: NO-3919

#### Correspondence Information

Correspondence Customer Number:: 23416

#### Representative Information

Representative Customer Number:: 23416

#### Domestic Priority Information

Application::	Continuity Type::	Parent Application::	Parent Filing Date::
This Application	National Stage of	PCT/EP2004/010377	09/16/04
PCT/EP2004/010377	An application claiming the benefit under 35 USC 119(e)	60/515922	10/29/03

#### Foreign Priority Information

Country::	Application number::	Filing Date::	Priority Claimed::
Germany	103 44 659.1	09/25/03	Yes

**Assignee Information**

Assignee name::	Basell Polyolefine GmbH
Street of mailing address::	Brühler Straße 60
City of mailing address::	Wesseling
Country of mailing address::	Germany
Postal or Zip Code of mailing address::	50389

ATTACHMENT B



MAY 14 2007

## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/573,228	03/24/2006	1713	900	090860023586		12	3

CONFIRMATION NO. 5031

## FILING RECEIPT



\*OC000000020575227\*

23416  
 CONNOLLY BOVE LODGE & HUTZ, LLP  
 P O BOX 2207  
 WILMINGTON, DE 19899

Received Basel

IP / Law

Date Mailed: 09/26/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Benno Bildstein, Innsbruck, GERMANY;

Alexander Kraje, Porsgrunn, NORWAY

Power of Attorney: The patent practitioners associated with Customer Number 23416.

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/EP04/10377 09/16/2004  
 which claims benefit of 60/515,922 10/29/2003

## Foreign Applications

GERMANY 103-44-659.1 09/25/2003

If Required, Foreign Filing License Granted: 09/25/2006

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/573,228**

Projected Publication Date: 01/04/2007

Non-Publication Request: No

Early Publication Request: No

Title

Polymerization catalysts, preparation of polyolefins, organotransition metal compounds and ligands

## **Preliminary Class**

526

## **PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

---

### **LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 Title 37, Code of Federal Regulations, 5.11 & 5.15**

#### **GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR



1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## POWER OF ATTORNEY TO PROSECUTE APPLICATIONS BEFORE THE USPTO

I hereby revoke all previous powers of attorney given in the application identified in the attached statement under 37 CFR 3.73(b).

I hereby appoint:

☒ Practitioners associated with the Customer Number:

34872

OR

☐ Practitioner(s) named below (if more than ten patent practitioners are to be named, then a customer number must be used):

Name	Registration Number	Name	Registration Number

as attorney(s) or agent(s) to represent the undersigned before the United States Patent and Trademark Office (USPTO) in connection with any and all patent applications assigned only to the undersigned according to the USPTO assignment records or assignment documents attached to this form in accordance with 37 CFR 3.73(b).

Please change the correspondence address for the application identified in the attached statement under 37 CFR 3.73(b) to:

☒ The address associated with Customer Number:

34872

OR

<input type="checkbox"/> Firm or Individual Name			
Address			
City	State	Zip	
Country			
Telephone			Email

Assignee Name and Address:

Basell Polyolefine GmbH  
Bruehler Strasse 60  
Wesseling DE-50389  
Germany

A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 or equivalent) is required to be filed in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of the practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filed.

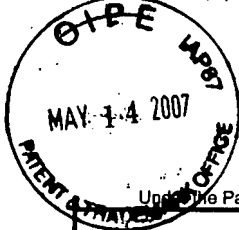
### SIGNATURE of Assignee of Record

The individual whose signature and title is supplied below is authorized to act on behalf of the assignee

Signature		Date	August 25, 2006
Name	Philip Lindsten	Telephone	011-39-0532-46-7560
Title	Duly Authorized Attorney		

This collection of information is required by 37 CFR 1.31, 1.32 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Basell Polyolefine GmbH

Application No./Patent No./Control No.: 10/573,228 Filed/Issue Date: March 24, 2006

Entitled: **POLYMERIZATION CATALYSTS, PREPARATION OF POLYOLEFINS, ORGANOTRANSITION METAL COMPOUNDS AND LIGANDS**

Basell Polyolefine GmbH, a corporation

(Name of Assignee)

(Type of Assignee: corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %)

in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 019228, Frame 0067, or a true copy of the original assignment is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

**As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.**

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

William R. Reid  
Signature

May 11, 2007

Date

William R. Reid

410-996-1783

Printed or Typed Name

Telephone Number

Patent Attorney Reg. No. 47,894 (Customer Number 34872)

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.